
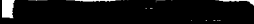
		<h1 style="text-align: center;">AWARD/ MODIFICATION</h1>		3a. ISSUED BY: OFFICE OF NAVAL RESEARCH BALLSTON CENTRE TOWER ONE 800 NORTH QUINCY STREET ARLINGTON VA 22217-5660																													
				3b. CFDA: [REDACTED]																													
1. INSTRUMENT TYPE: Grant		2. AUTHORITY: 10 USC 2358, 31 USC 6304		3c. DUNS NUMBER:																													
4. AWARD NO.: N00014-04-1 [REDACTED]		5. MODIFICATION NO.:		6. MODIFICATION TYPE:																													
8. ACTIVITY/AGENCY PROPOSAL NO.: 03312-[REDACTED]		9. RECIPIENT PROPOSAL NO.: N/A		7. PR NO.: 04PR00453-00																													
10. PROPOSAL DATE: 04-AUG-2003		11. ACTIVITY TYPE: Research		12. PROGRAM TYPE: N/A																													
13. ISSUED TO: 13a. ADDRESS: [REDACTED]		13b. CAGE: 7A641		13c. ED/EFT NUMBER: 094299																													
13d. BUSINESS OFFICE CONTACT: [REDACTED]		14. REMITTANCE ADDRESS (IF DIFFERENT FROM BLOCK 13): Same as block #13																															
13e. TELEPHONE NUMBER: [REDACTED]		13f. EMAIL ADDRESS: [REDACTED]																															
15. RESEARCH TITLE AND/OR DESCRIPTION OF PROJECT AND/OR PROPOSAL TITLE: Nanometer-scale Measurement and Modeling of Films and Interfaces of Wide Bandgap Semiconductors and Strongly Polarized Thin Films																																	
<table border="1" style="width: 100%;"> <thead> <tr> <th>16. FUNDING</th> <th>ACTIVITY/AGENCY SHARE</th> <th>RECIPIENT SHARE</th> <th>TOTAL</th> <th>17. CURRENT FUNDING PERIOD</th> </tr> </thead> <tbody> <tr> <td>PREVIOUSLY OBLIGATED:</td> <td>\$.00</td> <td>\$.00</td> <td>\$.00</td> <td>N/A THROUGH N/A</td> </tr> <tr> <td>OBLIGATED BY THIS ACTION:</td> <td>[REDACTED]</td> <td>\$.00</td> <td>[REDACTED]</td> <td rowspan="3">18. PERIOD OF PERFORMANCE 01-OCT-2003 THROUGH 30-SEP-2006</td> </tr> <tr> <td>TOTAL OBLIGATED ON AWARD:</td> <td>[REDACTED]</td> <td>\$.00</td> <td>[REDACTED]</td> </tr> <tr> <td>FUTURE FUNDING:</td> <td>[REDACTED]</td> <td>\$.00</td> <td>[REDACTED]</td> </tr> <tr> <td>GRANT TOTAL:</td> <td>[REDACTED]</td> <td>\$.00</td> <td>[REDACTED]</td> <td></td> </tr> </tbody> </table>						16. FUNDING	ACTIVITY/AGENCY SHARE	RECIPIENT SHARE	TOTAL	17. CURRENT FUNDING PERIOD	PREVIOUSLY OBLIGATED:	\$.00	\$.00	\$.00	N/A THROUGH N/A	OBLIGATED BY THIS ACTION:	[REDACTED]	\$.00	[REDACTED]	18. PERIOD OF PERFORMANCE 01-OCT-2003 THROUGH 30-SEP-2006	TOTAL OBLIGATED ON AWARD:	[REDACTED]	\$.00	[REDACTED]	FUTURE FUNDING:	[REDACTED]	\$.00	[REDACTED]	GRANT TOTAL:	[REDACTED]	\$.00	[REDACTED]	
16. FUNDING	ACTIVITY/AGENCY SHARE	RECIPIENT SHARE	TOTAL	17. CURRENT FUNDING PERIOD																													
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OBLIGATED BY THIS ACTION:	[REDACTED]	\$.00	[REDACTED]	18. PERIOD OF PERFORMANCE 01-OCT-2003 THROUGH 30-SEP-2006																													
TOTAL OBLIGATED ON AWARD:	[REDACTED]	\$.00	[REDACTED]																														
FUTURE FUNDING:	[REDACTED]	\$.00	[REDACTED]																														
GRANT TOTAL:	[REDACTED]	\$.00	[REDACTED]																														
19. ACCOUNTING AND APPROPRIATION DATA: See attached Financial Accounting Data Sheet(s)																																	
20a. PRINCIPAL INVESTIGATOR/RECIPIENT TECHNICAL REPRESENTATIVE: (PI) Jonathan P. Pelz		21. TECHNICAL REPRESENTATIVE 21a. NAME: [REDACTED]		21b. CODE: ONR 312																													
20b. TELEPHONE NUMBER: (614) 2928388		20c. EMAIL ADDRESS: jpelz@mps.ohio-state.edu		21c. ADDRESS: OFFICE OF NAVAL RESEARCH BALLSTON CENTRE TOWER ONE 800 NORTH QUINCY STREET ARLINGTON VA 22217-5660																													
22. AWARDOFFICE CONTACT 22a. NAME: [REDACTED]		22b. CODE: ONR 251		21d. TELEPHONE NUMBER: (703) 6964218																													
22c. ADDRESS: OFFICE OF NAVAL RESEARCH BALLSTON CENTRE TOWER ONE 800 NORTH QUINCY STREET ARLINGTON VA 22217-5660		23a. ADMINISTRATIVE OFFICE: OFFICE OF NAVAL RESEARCH REGIONAL OFFICE CHICAGO 230 SOUTH DEARBORN, ROOM 380 CHICAGO IL 60604-1595 Fax: (312) -886-2094		21e. EMAIL ADDRESS: woodc@onr.navy.mil																													
22d. TELEPHONE NUMBER: (703) [REDACTED]		22e. EMAIL ADDRESS: [REDACTED]		23b. CODE: N62880																													
24. SUBMIT PAYMENT REQUEST TO: Same as block #23a		25a. PAYING OFFICE: DFAS CHARLESTON, SC		25b. CODE: N68892																													
				26a. PATENT OFFICE: OFFICE OF NAVAL RESEARCH ATTN: ONR 00CC BALLSTON CENTRE TOWER ONE 800 NORTH QUINCY STREET ARLINGTON VA 22217-5660																													
				26b. CODE: N00014																													

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27. SPECIAL INSTRUCTIONS:							
28. DELEGATIONS: The administration duties listed below have been delegated to the administrative office (block 23a). Upon request the awarding office contact (block 22) will make their full text available. Please direct questions to the contacts @: http://www.onr.navy.mil/02/024/offices.htm							
Full Delegation							
29. TERMS AND CONDITIONS: The following terms and conditions are incorporated herein by reference with the same force and effect as if they were given in full text. Upon request the awarding office contact named in block 22 will make their full text available, or they can be found at the specified URL.							
DOCUMENT		URL		CLAUSES			
UAWA Award A		http://www.antd.nist.gov/fededi/resources/documents/					
UAAC Acceptance C		http://www.antd.nist.gov/fededi/resources/documents/					
UVVE ONR Dom. Res. July 2001		http://www.onr.navy.mil/02/basicgrant_01.pdf					
30. OPTIONS							
OPTION NO.		AMOUNT		PERIOD			
(1)							
(2)							
(3)							
(4)							
31. REPORTS: The following reports must be submitted to the indicated addressees, in the indicated quantities, within 90 days following the expiration or termination of the project. Final Technical Reports must have a SF298, Report Documentation Page, accompanying them. Unless otherwise stated in the award/modification, complete Block 12a of the SF298 as follows: "Approved for Public Release; distribution is Unlimited".							
ADDRESSEE		REPORT TYPE				COPIES	
See block #21 (Frequency)		Performance/Technical Report (As Required) w/ SF298				1	
See block #23a		Report of Inventions and Subcontracts - DD 882 Performance/Technical Report (As Required) Final Financial Status Report - SF269A - If advances used				1 1 1	
See block #26a		Report of Inventions and Subcontracts - DD 882				1	
DEFENSE TECHNICAL INFORMATION CENTER 8725 JOHN J KINGMAN ROAD STE 0944 FORT BELVOIR VA 22060-6218		Performance/Technical Report (As Required) w/ SF298				1	
NAVAL RESEARCH LABORATORY ATTN: CODE 5227 4555 OVERLOOK AVENUE SW WASHINGTON DC 20375-5320		Performance/Technical Report (As Required) w/ SF298				1	
32. FOR THE RECIPIENT				33. FOR THE UNITED STATES OF AMERICA			
32a. SIGNATURE OF PERSON AUTHORIZED TO SIGN N/A - SIGNATURE NOT REQUIRED ON THIS AWARD				33a. SIGNATURE OF AWARDOFFICER 			
32b. NAME AND TITLE OF SIGNER		32c. DATE SIGNED		33b. NAME AND TITLE OF AWARDOFFICER 		33c. DATE SIGNED 06-OCT-2003	

FINANCIAL ACCOUNTING DATA SHEET - NAVY

1. CONTRACT NUMBER (CRITICAL) N00014-04-1-0010		2. SPIIN (CRITICAL)		3. MOD (CRITICAL)		4. PR NUMBER 04PR00453-00		PAGE 3 OF 5					
6. LINE OF ACCOUNTING													
CLIN/SLIN	A. ACRN (CRITICAL)	B. APPROPRIATION (CRITICAL)	C. SUBHEAD (CRITICAL)	D. OBJ CLA	E. PARM	F. RFM	G. SA	H. AAA (CRITICAL)	I. IT	J. PAA	K. COST CODE PROJ UNIT MCC PDI & SUF	7. AMOUNT (CRITICAL)	NAVY INTERNAL USE ONLY REF DOC/ACRN
	AA	1741319	WIAE	255	RA	313	0	068342	2D	000000	02102 000 0100		PR#04PR00453-00 FRC:1.213
PAGE TOTAL													
GRAND TOTAL													
COMPTROLLER APPROVAL: FOR FISCAL DATA AND SIGNATURE													
DATE:													
DATE:													
for COMPTROLLER, ONR CONTRACT REVIEWED													

FINANCIAL ACCOUNTING DATA SHEET – NON-NAVY DoD ACTIVITIES

1. CONTRACT NUMBER (CRITICAL) N00014-04-1-0010		2. SPIN (CRITICAL)	3. MOD (CRITICAL)	4. PR NUMBER 04PR00453-00	PAGE 4 OF 5	
5. CLIN/SIN	6. ACRN (CRITICAL)	7. ACCOUNTING CITATION		8. AMOUNT (CRITICAL)	NAVY INTERNAL USE ONLY REF DOC/ACRN	
This page is intentionally blank						
PREPARED/AUTHORIZED BY:		COMPTROLLER APPROVAL: FOR FISCAL DATA AND SIGNATURE		DATE:		for COMPTROLLER, ONR CONTRACT REVIEWED
DATE:		BY		DATE:		
PAGE TOTAL		GRAND TOTAL		PAGE TOTAL		GRAND TOTAL
				\$. 00		\$. 00

AWARD NO. N00014-04-1-0010	SPECIAL REQUIREMENTS	MODIFICATION NO.	PAGE 5 of 5
<p data-bbox="503 462 1185 514">This page is intentionally blank</p>			



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**CERTIFICATIONS REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS;
RESTRICTIONS ON LOBBYING; AND DRUG-FREE WORKPLACE REQUIREMENTS**

Proposal Title Nanometer-scale measurement and modeling of films and interfaces of wide bandgap semiconductors and strongly polarized thin films.

Proposal Number and/or Date 8/3/2003

The above referenced proposal was submitted in response to: (select one)

☒ The ONR Broad Agency Announcement (BAA) #03-001, as published in FedBizOpps on 05 Sep 02.

☐ Other BAA (list solicitation no., project title, and data of issuance):

Applicants should refer to the regulations cited below to determine the certifications to which they are required to attest. Applicants should also review the instructions for certification requirement under 32 CFR Part 25, "Government-wide Debarment and Suspension (Nonprocurement)"; and 32 CFR Part 28, "New Restrictions on Lobbying"; 32 CFR Part 25, "Government-wide Requirements for Drug-Free Workplace (Grants)". The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Office of Naval Research determines to award the covered transaction, grant, or cooperative agreement.

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS--
PRIMARY COVERED TRANSACTIONS**

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
- (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
- (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

CERTIFICATION REGARDING LOBBYING ACTIVITIES

The following certification applies only to actions exceeding \$100,000:

Section 1352, Title 31, U.S.C. (PL 101-121, Section 319) entitled "Limitation on use of appropriated funds to influence certain Federal contracting and financial transactions".

- (1) No Federal appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying", in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S.C. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

Alternate I. (Grantees Other Than Individuals)

(1) The grantee certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about--

- (1) The dangers of drug abuse in the workplace;
- (2) The grantee's policy of maintaining a drug-free workplace;
- (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
- (4) the penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will--

- (1) Abide by the terms of the statement; and
- (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted--

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- (1) Taking appropriate personnel action against such employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
- (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

(2) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, ZIP code)

[REDACTED]

Check ☐ if there are workplaces on file that are not identified here.

Alternate II. (Grantees Who Are Individuals)

(1) The grantee certifies that:

- (a) As a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;
- (b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction in writing, within 10 calendar days of the conviction, to every grant office or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby make the above certifications on behalf of the applicant.

Applicant Institution:

[REDACTED]

Taxpayer Identification Number (TIN):

[REDACTED]

Printed Name, Title and Signature of Authorized Representative:

[REDACTED]

Date:

7/30/2003

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**Author:** 02 Web Author**Maintained By:** Public Affairs Web Development Team**Revised:** 28 October 2002